

Please type a plus sign (+) inside this box → **[+]**

PTO/SB/05 Revised (11-00)

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	2502486-991103 (continuation of Appln. No. 10/040,336)	
First Inventor	Sen-Itiro HAKOMORI et al.	
Title	VACCINES DIRECTED TO CANCER-ASSOCIATED CARBOHYDRATE ANTIGENS	
Express Mail Label No.		

22141 U.S. PTO  
10/16/2003  
09/25/03

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 44]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 21]
5. Oath or Declaration [Total Pages ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76
- 6a.  Priority is claimed under the provisions of 35 U.S.C. § 119  
Appln No. \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_  
Appln No. \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. §3.73(b) Statement  Power of (when there is an assignee) Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP)

of prior application No: 10/ / 040,336

Group / Art Unit: 1645

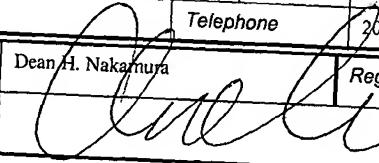
Prior application information: Examiner Sarvamangala J. N. DEVI  
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 20. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

**\*35928\***

or  Correspondence address below

Name	GRAY CARY WARE & FREIDENRICH LLP				
Address	1625 Massachusetts Avenue, N.W. - Suite 300				
City	Washington	State	D.C.	Zip Code	20036
Country	U.S.A	Telephone	202-238-7700	Fax	202-238-7701
Name (Print/Type)	Dean H. Nakamura		Registration No. (Attorney/Agent)		33,981
Signature			Date		Sept. 25, 2003

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

17667 U.S. PTO  
09/25/03

# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 375)

Complete If Known	
Application Number	Continuation of Appln. No. 10/040,336
Filing Date	September 25, 2003
First Named Inventor	Sen-Itiroh HAKOMORI et al.
Examiner Name	S. DEVI
Group / Art Unit	1645
Attorney Docket No.	2502486.991103

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money  Other  None  
Order
 Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

07-1896

GRAY CARY WARE &amp; FREIDENRICH LLP

**The Commissioner is authorized to: (check all that apply)**

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) under 1.16 or 1.17 during pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	375
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)		(\$ 375)			

## 2. EXTRA CLAIM FEES

Total Claims		-20 **	=	0	X	Fee from below	Fee Paid
Independent Claims							
Multiple Dependent		-3 **	=	0	X		

Large Entity	Small Entity	Fee Description
Fee Code	Fee (\$)	Fee Description
1202	18	2202 9 Claims in excess of 20
1201	84	2201 42 Independent claims in excess of 3
1203	280	2203 140 Multiple dependent claim, if not paid
1204	84	2204 42 ** Reissue independent claims over original patent
1205	18	2205 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing request for ex parte reexam	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,300	2453	650	Petition to revive – unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

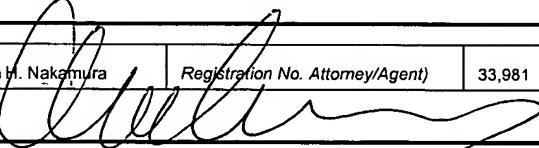
\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 0)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Dean H. Nakamura	Registration No. Attorney/Agent)	33,981	Telephone	202.238.7725
Signature			Date	Sept. 25, 2003	

WARNING: Information on this form may become public. Credit card Information should not be included on this form. Provide credit card information and authorization on PTO-2038.  
SEND TO: Commissioner for Patents, Alexandria, Virginia 22313-1450.

**FILING RECEIPT**  
**PLEASE DATE STAMP AND RETURN YELLOW SHEET TO:**

**Dean H. Nakamura  
Gray Cary Ware & Freidenrich LLP  
1625 Massachusetts Avenue, N.W.  
Suite 300  
Washington, D.C. 20036**

In re application of:  
Sen-Itiroh HAKOMORI et al.

Group Art Unit: 1645

Continuation Application of  
Pending U.S. Appln. No. 10/040,336  
Confirmation No. (Unassigned)

Examiner: S. DEVI

Filed: September 25, 2003

Atty. Docket No. 2502486-991103

For: VACCINES DIRECTED TO  
CANCER-ASSOCIATED  
CARBOHYDRATE ANTIGENS

Customer No.

**\*35928\***

**35928**

PATENT TRADEMARK OFFICE

**PAPER(S) FILED ENTITLED:**

1. Fee Transmittal  
(w/check no. 544913 in the amount of \$375.00)
2. Utility Patent Application Transmittal (for Continuation Application)  
(w/copy of parent application along w/figures and Declaration & Power of Attorney)
3. Preliminary Amendment  
(w/copy of Sequence Listing)

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DOCKET NO.: 2502486-991103  
ATTORNEY/SEC: DNakamura/pmakle

**Date Filed: September 25, 2003**